

125



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/737,754	12/18/2000	Arthur A. Schein	CITI0014-CON	2823

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EXAMINER

VIG, NARESH

ART UNIT	PAPER NUMBER
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3629

DATE MAILED: 05/05/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/737,754

Applicant(s)

SCHEIN ET AL.

Examiner

Naresh Vig

Art Unit

3629

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 24 April 2003.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 21 and 23-52 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 21 and 23-52 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

This is in reference to response received on 24 April 2003 to the office action mailed on 12 November 2002. There are 31 claims, claims 21 and 23 – 52 pending for examination.

### ***Response to Arguments***

Applicant's arguments with respect to claims 21 and 23 – 52 have been considered but are moot in view of the new ground(s) of rejection.

### ***Claim Rejections - 35 USC § 102***

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 21, 23 – 31, 33 – 38 and 40 – 48 are rejected under 35 U.S.C. 102(b) as being unpatentable over "Examples of Using MQSeries on S/390, RISC System/6000, AS/400 and PS/2" hereinafter known as MQSeries.

Regarding claim 21, MQSeries discloses a global communications network for use by a financial institution [page 33 – 51], comprising:

a plurality of distribution points for allowing an end user to send an electronic message or request [page 31];

an integration facility for controlling and routing the electronic message or request, wherein the integration facility comprises at least one first logical router for determining whether the electronic message or request is simple or complex [page 31]; and

as for limitation of “at least one service provider for processing the electronic message or request”, (inherently included in MQSeries) because MQSeries teaches transmission Queues [page 12] which are used as an intermediate step when sending messages to remote queues, and, it is a business choice to elect whether they want to implement their network as an intranet or an internet .

Regarding claim 23, MQSeries discloses at least one first logical router directs the simple electronic message or request directly to the at least one service provider [page 21, 22, 25].

Regarding claim 24, MQSeries discloses at least one first logical router directs the complex electronic message or request to at least one messaging services agent.

Regarding claim 25, MQSeries discloses at least one messaging services agent processes the complex electronic message or request based on at least one of processing scripts, workflow rules, data model rules, and business rules, and wherein the at least one messaging services agent directs the processed complex electronic message or request to at least one second logical router [page 25].

Regarding claim 26, MQSeries discloses at least one second logical router (Transmit Queue) [page 5] which directs each processed electronic message or request based on routing criteria developed from at least one of data partitioning to at least one service provider (remote computers) [page 31].

Regarding claim 27, MQSeries teaches at least one second logical router directs the processed complex electronic message or request to at least one service provider (by using transmit queue, message can be transferred from MVS/ESA to AS/400 via RS/6000) [page 25, 31].

Regarding claim 28. applicant discloses "Complex transactions are intended to be sent through the system, whether or not they require a database lookup or not." [0052]. MQSeries discloses second logical router directs the processed complex

Art Unit: 3629

electronic message or request based on routing criteria developed from at least one of data partitioning (reply received into MVB2 put in intermediate queue for MVB1) [page 31].

Regarding claim 29, MQSeries discloses at least one messaging services agent (MVB2) decomposes the complex electronic message or request based on at least one processing scripts, business rules into a plurality of simple electronic messages and wherein the at least one messaging services agent (MVB4) directs the plurality of simple electronic messages or requests to at least one second logical router (queues between MVB4 and MVB5) [page 34].

Regarding claim 30, MQSeries discloses a system journal for maintaining a log of the electronic message or request (messages remain physically on the disk file, until they are explicitly purged) [page 74].

Regarding claim 31, MQSeries discloses at least two data centers, wherein each data center of the at least two data centers comprises at least one data storage device for storing data necessary to process the electronic message or request [page 31].

Art Unit: 3629

Regarding claim 33, MQSeries discloses at least one distribution point of the plurality of distribution points is chosen from a group consisting of branch systems, remote delivery systems, customer service systems, point of sale systems, and office systems (shows branch to branch communication) [page 31].

Regarding claim 34, MQSeries discloses first distribution point of the plurality of distribution points [page 8, 31]. MQSeries discloses:

a branch router (unit of work 2 in Figure 3 on page 2, FEP in Figure 10 on page 30) in communication with the integration facility and a public network;

at least one general service [page 30]; and

a local area network in communication with the at least one general service [page 30] and the public network (TCP/IP protocol used in a public network like the internet) [page 31].

Regarding claim 35, MQSeries discloses at least investment consultant work stations (credit application manager) [page 34].

Regarding claim 36, MQSeries discloses a second distribution point of the plurality of distribution points [page 46]. MQSeries discloses:

a remote delivery router in communication with the integration facility (MVS Host) and the public network (TCP/IP protocol which is used in public network like internet) [page 31]; and

Art Unit: 3629

at least one remote device (RS/6000), wherein the at least one remote device is in communication with the public network (TCP/IP protocol which is used in public network like internet) [page 31].

Regarding claim 37, MQSeries discloses third distribution point of the plurality of distribution points (PS/2). MQSeries discloses:

a point-of-service server (AS/400) in communication with the integration facility and a point-of-service network (communication between RS/6000 and AS/400) [page 31]; and

a terminal device (PS/2), wherein the terminal device is in communication with the point-of-service network (communication between RS/6000 and PS/2) [page 31].

Regarding claim 38, MQSeries discloses point-of-service network is the public network (TCP/IP protocol which is used in public network like internet) [page 31].

Regarding claim 40, MQSeries discloses first distribution point of the plurality of distribution points [page 31, 34]. MQSeries discloses:

a point-of-service server in communication with the integration facility and a point-of-service network; and



Art Unit: 3629

a terminal device, wherein the terminal device is in communication with the point-of-service network, and wherein the terminal device comprises at least one of a magnetic strip reader or a key pad.

Regarding claim 41, MQSeries discloses point-of service network is at least one of a public network (TCP/IP, protocol used in public network like internet) or a private network (SNA) [page 31].

Regarding claim 42, MQSeries discloses processing and routing an electronic message or request across a global communications network. MQSeries discloses:

receiving an electronic message or request from a distribution point (inquiry from MVB1) [page 34]

determining whether the electronic message or request is simple (MVB1) or complex (MVB4) [page 34];

routing a simple electronic message or request to at least one service provider (MVB1), or processing a complex message or request and routing the processed complex message or request to at least one service provider (MVB4) [page 34].

Regarding claim 43, MQSeries discloses at least one service provider (remote computers) communicates with a data center (MVS host), and wherein the data center

Art Unit: 3629

comprises at least one data storage device (inherently included in the host system) for storing data necessary to complete the simple electronic message (MBB1) or request and the complex message or request (MVB4) [page 34].

Regarding claim 44, MQSeries discloses processing the complex message or request and routing the processed complex message or request (MVB4).

decomposing the complex message or request based on at least one of processing scripts (MVB4), into a plurality of simple messages or requests (B5, B6, B7) [page 34]; and

routing the plurality of simple messages or requests to the at least one service provider (MVB5, message to remote queue using transmit queue) where the plurality of simple messages are processed [page 34].

Regarding claim 45, MQSeries discloses processing the complex message or request and routing the processed complex message or request, recomposing responses from the at least one service provider (MVB2) [page 34]; and

routing the recomposed responses to the distribution point (MVB1) [page 34].

Regarding claim 46, MQSeries discloses routing the plurality of simple messages or requests [page 34], routing the each simple message or request of the plurality of

Art Unit: 3629

simple messages or requests based on routing criteria developed from at least one of data partitioning (MVB2) [page 34].

Regarding claim 47, MQSeries discloses routing the processed complex message or request to at least one service provider [page 30, 34], routing the complex message or request based on routing criteria developed from at least one of data partitioning (MVB4).

Regarding claim 48, MQSeries discloses maintaining a log of the electronic messages or requests [page 74].

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim 32 is rejected under 35 U.S.C. 103(a) as being unpatentable over  
"Examples of Using MQSeries on S/390, RISC System/6000, AS/400 and PS/2"

Art Unit: 3629

hereinafter known as MQSeries in view of Richards et al. US Patent 5,995,921

hereinafter known as Richards.

Regarding claim 32, MQSeries discloses:

a common interface by which the end user can send the electronic message or request.

MQSeries does not disclose audio and visual devices for interaction with the end user, and, translation software for translating all functions communicated to the end user audibly and visually into the end user's preferred language. However, Richards discloses audio (196) and visual (170) interfaces [Fig. 1], and, translation software for translating all functions communicated to the end user audibly and visually into the end user's preferred language (the interface may be adapted to receive queries in another target natural language such as Spanish, Italian, etc., by merely modifying lists 214, 215, 216 and the character string fields in list 218.) [col. 14, lines 15 – 49]. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify MQSeries as taught by Richards to provide an interface in which the user may use the system using words, phrases and terminology of the user's natural language.

Art Unit: 3629

Claim 39 and 49 – 52 are rejected under 35 U.S.C. 103(a) as being unpatentable over “Examples of Using MQSeries on S/390, RISC System/6000, AS/400 and PS/2” hereinafter known as MQSeries in view of Yanai et al. US Patent 5,544,347 hereinafter known as Richards.

Regarding claim 39, MQSeries discloses first distribution point of the plurality of distribution points [page 31]. Applicant discloses “[0054] In accordance with another important aspect of the present invention, the integration facility preferably supports identical data bases located in different cites in real time.” (data mirroring). MQSeries discloses:

a remote delivery router in communication with remote systems and a public network (Transmission Queue) [page 5];

and

at least one remote device (PS/2) [page 31], wherein the at least one remote device is in communication with the public network (TCP/IP protocol which is used in public network like internet), and wherein the remote device is computer modem (modem in PS/2 for TCP/IP connectivity to the public network).

MQSeries does not disclose integration facility. However, Yanai discloses data mirroring [Fig. 1]. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify MQSeries as taught by Yanai for instantaneous data recovery after a disaster by retrieving data from a remote device.

Art Unit: 3629

Regarding claim 49, MQSeries discloses a communications network.

an integration facility for processing electronic messages or requests, wherein the integration facility comprises at least one first logical router for determining whether the electronic message or request is simple or complex (MVB1, MVB4) [page 34];

at least one distribution point (MVB2) [page 34]

at least one financial transaction related service (Fig. 12) [page 34]

at least one service provider (plurality of hosts in the network) [page 31].

Applicant discloses “[0054] In accordance with another important aspect of the present invention, the integration facility preferably supports identical data bases located in different cites in real time.” (data mirroring). MQSeries does not disclose integration facility. However, Yanai discloses data mirroring [Fig. 1]. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify MQSeries as taught by Yanai for instantaneous data recovery after a disaster by retrieving data from a remote device.

Regarding claim 50, MQSeries discloses office systems (plurality of computers) [page 31].

Regarding claim 51, MQSeries discloses financial transaction related service is financial control services [page 34].

Art Unit: 3629

Regarding claim 52, MQSeries discloses service provider is selected from a group consisting of gateways (inherently used in connecting 2 remote computers over the internet), product processors (host computers) and authorization engines [page 37].

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Applicant is required under 37 CFR '1.111 (c) to consider the references fully when responding to this office action.

1. Blumstein et al. US patent 5,589,855

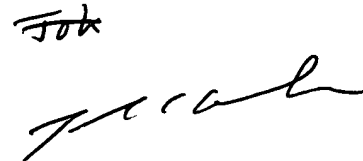
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Naresh Vig whose telephone number is 703.305.3372. The examiner can normally be reached on M-F 7:30 - 5:00 (Alt Friday off).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on 703.308.2702. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Art Unit: 3629

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Naresh Vig  
April 29, 2004



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